

FEDSIM Management Controls

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Overview of Management Control Processes

FEDSIM operates in a narrow span of large systems integration and complex Information Technology (IT) projects. Because we are focused on IT acquisition, we have developed best practices and management controls to determine if a client requirement is in our successful project profile prior to agreeing to provide services. These practices and controls focus on both individuals and techniques. Key individuals and the techniques (tools they use) are summarized below.

Operations Managers (OM): OM's are project monitors. They report directly to the division directors and are charged to ensure that our best practices and repeatable processes are implemented. All acquisitions, modifications, Inter-Agency Agreements, and financial transactions are presented to OM's and must have their concurrence before they are processed.

Contract Specialists/Contracting Officers: To ensure that all new and existing contracts, orders, and modifications are in accordance with FAR, Agency FAR Supplements, statute, OMB, GSA (FTS/ITS/FEDSIM) policies and guidelines, our contracting procedures do not allow the individual contracting associate who prepared the contractual documents (modifications, contracts, or orders) to execute the contractual documents. Any time that a Contracting Officer does have to execute their own work, a peer review must be documented in writing before they can execute the contractual document.

Acquisition Project Managers (APM): FEDSIM employs the strategy of having focused APM's who gather requirements in order to facilitate the award process. This ensures that procurements are maximizing value, leveraging re-usable artifacts where possible, and providing critical and focused skills in this key area.

Peer Project Managers (PM): All FEDSIM task orders have an assigned project manager. Additionally, there is a backup project manager who is familiar with the task order, any unique requirements, processes, or other variations that would require additional knowledge. As part of the process of educating a backup PM, any concerns of the backup PM that could require management attention are discussed with the primary PM and the OM.

Legal Review: All task order awards over \$5 Million are subject to two legal reviews. The first review is to ensure that procurement packages are legally sufficient prior to sending them to industry partners, and then another review prior to award to assure the award is legally sufficient.

Acquisition Checklists: To ensure that all transactions meet minimum requirements, checklists have been instituted for every acquisition. These checklists identify that regulatory compliance has been accomplished as well as to ensure proper checks and balances have been accomplished.

GSA Preferred (3GS): Summer 2004, FEDSIM will be implementing the Third Generation System (3GS) system. This system is a SAP-based enterprise management that will give GSA

management a better tool to provide overall management and visibility for all support provided to GSA clients. Furthermore, the system will be client interactive and provide clients with the ability to access financial and contract records, as well as a collaborative work environment.

Quarterly Reviews: CSDs conduct quarterly reviews of key projects identifying potential problems, project milestones accomplished last quarter, projected milestones for next quarter, and risk management.

Project Reviews: Newly instituted process provides a living record of each project. Tabs are provided for: action plan, financials, schedule, spending/funding, risk, compliance, orders, relationship management, 3GS transition status. This balanced scorecard approach allows management to access the overall health of the project.

Training Management System (TMS): Newly automated robust training management system allows associates to easily develop Individual Development Plans (IDPs). Management can quickly see the planned and completed courses, budget information, and hours allocated for training, and manage the development of each associate.

FEDSIM Information Access (FIA): FIA is an automated portal to information frequently used by associates. Contents include Operating Procedures Manual, Knowledge Base, Lessons-Learned Database, and Forms and Templates. Links also exist for Enable/TOS Next, IDP TMS, 3GS, and Professional Services.

FTS management controls can be viewed as consisting of organizational and infrastructure.

The management control process and associated tools and techniques can be broken down into the following areas: Administrative, Financial, Acquisition, and Project. The automated and manual controls, practices, and techniques are contained in the following lists. Many controls cut across more than one area; e.g., most of the administrative functions listed also have relevance to the project controls and could easily have been included there.

I. Administrative (Personnel)

A. Organizational (Roles and Responsibilities)

Each element of the FTS organization plays an important role in either establishing the need for and implementing management controls or ensuring compliance with the established management controls.

1. FTS Commissioner (T):

Sets overall guidance about the importance of management controls; memo dated 01/16/04.

2. Assistant Commissioner, Contracting (TQ)

Reviews and approves all professional services acquisitions and all acquisitions over \$50M.

3. Assistant Commissioner, Office of IT Solutions (TF)

Provides ongoing review of lessons learned from IG and GAO audits of regional offices and FEDSIM audits and recommends new management controls as required.

Reviews and approves Acquisition Plans for all acquisitions with a total value of over \$20 Million.

4. FEDSIM Director (TFM)

Provides ongoing review of lessons learned and initiates new management controls as required.

Reviews new Interagency Agreements (IAs) for compliance to business goals.

Monitors Acquisition Plans for all acquisitions over \$5M.

Holds quarterly review with Client Support Directors to review divisions' performance.

Responsible for annually reviewing random sampling of project and acquisitions to ensure that management controls are applied and sufficient.

Conducts management control review every three years and submits to GSA Chief Financial Officer.

5. Client Support Director (CSD)

Reviews projects for compliance with bona fide need.

Issues and signs all new IAs and provides control over use of correct GSA revolving fund (IT Fund or General Supply Fund).

Ensures proper use of Interagency Agreement Amendments (IAAs), (One project/contract for each IA).

Provides ongoing interface with client to ensure client satisfaction.

Ensures all IAs identify a specific project deliverable or outcome.

Ensures staff is trained using Individual Development Plans (IDPs).

Acquisition CSD and OM provide contracting expertise for FEDSIM and ITS.

Acquisition CSD and OM develop acquisition policy and procedures.

6. Operations Manager (OM)

Reviews all Acquisition packages to ensure:

- Packages are complete

- Statement of Work (SOW) contains clearly defined tasks and deliverables

- Acquisition planning is in place and effective

Acquisition OM coordinates acquisition issues between Acquisition center and client support centers.

B. Client Support

Interagency Agreements (IAs) must be signed by the client and FEDSIM for all projects. IAs define the bona fide need and project description, the client organization, the FEDSIM information, the terms and conditions of the agreement, roles and responsibilities of each organization, the fee structure and billing process.

Standard templates and instructions exist for IA, IA Amendments, Project Element Plans (under IAs), Project Element Change Notices, and funding document acceptance.

Policy has instituted that new Interagency Agreements must be for each discrete project (in lieu of each client program).

Quarterly Reviews with each associate to review their projects/acquisitions, IDPs, and overall performance.

In March 2004, FEDSIM deployed an automated Project Review Tool to collect, rate and review project ratings (green/amber/red) in the areas of cost, schedule, risk, and readiness for data migration; the tool was developed to ensure proactive management of all projects rather than just those covered in face-to-face quarterly reviews.

Hosting of Enterprise Life Cycle program (May 2002) on the integration of Enterprise Architecture, Capital Planning, Performance Based Acquisition, and IT Investment Management with speakers from OMB, GAO, GSA, EPA, Labor

C. Knowledge Management

Knowledge Base accessible by everyone in FEDSIM to read and contribute useful information and policy. Information is validated by staff as added. Simple search capability exists and information can be sorted by category, author, or date.

Brown Bag seminars - Lunch time sessions covering a multitude of current acquisition issues with internal and external speakers

Trusted Advisors Group – This is a group of senior project managers and acquisition professionals that are a source of information for the rest of FEDSIM.

D. Human Resources

Hiring practices (new employees) – interviewed by three CSDs, then FEDSIM director, before hired.

Participate in university job fairs to ensure a pool of junior analysts/interns is maintained

Provides bench strength – new hires are brought on and generically trained, then moved to division where project management support needed.

Provides standardized, comprehensive New Employee Orientation.

Participate in FTS new employee orientation programs.

Provide rotational job assignments for GSA interns

New employee checklist for resources and training

Executive Development Group – mentor/protégé, developmental assignments, executive coaching, rotational assignments in acting positions, educational investment

Promotions – interviewed by several CSDs, then interviewed by FEDSIM Director

Fast Track program based on both defined performance measures related to income (billability % and contractor obligations accomplished through FEDSIM labor billed) as well as organization-wide contributions (such as special projects that benefited all of division, FEDSIM, or FTS and devoting what would otherwise be billable time to training new employees)

E. Management

Organized around the client

Client Support Directors (CSDs) – focus on client relationship building, business development, and human resources

Operations Managers (OMs) – key focal point that reviews all acquisitions from division

Performance measures incorporated in acquisition sample includes all acquisitions, not just random sample; follow through on performance measures to analyze and take corrective action (provides awareness of how performance measures derived; discussions of proper planning and management of client expectations)

Regularly scheduled Executive team meetings to discuss strategic issues as well as tactical implementation; led by FEDSIM Director, attended by CSDs, OMs, Deputy Director, HR Specialist, and Business Manager

Regularly scheduled CSD meetings to discuss resource planning (workload, scheduling, hiring, consistent performance management), external environmental influence on projections, industry relationships

Regularly scheduled OM meetings to develop operational procedures and consistent implementation

Signature authority clearly articulates who can sign Interagency Agreements, Interagency Agreement Amendments, Project Element Plans; Director of Acquisition reviews all new IAs

Quarterly reviews with each associate to review projects/acquisitions, overall performance of individual, individual development

F. Communications

Quarterly performance reviews of our program's overall performance as well as performance measures and project reviews.

Regularly scheduled all hands meetings

Focus Group meetings - Director meets monthly with representatives of all divisions to discuss front line concerns as well as big picture

Regularly scheduled staff meetings with latest news and policies, educational segment, recognition

Industry Advisory group on general issues

One-on-one meetings with industry and CSD about opportunities

Quarterly report by each division consolidated and provided to Assistant Commissioner of IT Solutions

Network drive restructured so all files related to projects and acquisitions are stored in same directory structure. This helps when others want to find files and will also facilitate 3GS migration of files.

Network drive includes all contract documentation for those actions not in TOS. All FEDSIM associates have “read” access to contractual documentation. Only Acquisition staff can edit electronic contract files

II. Financial

A. Client Funding:

Each Line of Accounting string is unique

Each Line of Accounting transaction (Base and Adjustments transactions) is separately recorded and distributed to projects

Funds distributed to a project(s) cannot exceed the amount of the Line(s) of accounting used

Funds distributed to a project are reviewed and committed by a Financial Manager before a Purchase Requisition (PR) is created

Chargebacks and delinquencies are monitored by FTS CFO’s office and brought to the attention of Business Manager and Project Manager.

B. Receiving/Invoicing:

Goods and services acceptance/receipt are entered by the designated receiving official on the order

Preliminary invoice validation/entry into system done by Ft. Worth Finance (Designated Billing Office).

FEDSIM staff member checks VITAP (GSA system) daily to ensure PMs are processing invoices in a timely manner.

Invoice review along with receipt determination completed to generate a payment transaction done

by the designated receiving official

C. Separation of duties:

GSA Finance Ft. Worth Technician enters invoices in Pegasys (GSA Accounting System of Record).

Industry Partner (IP) Contracts person enters invoices in TOS.

FTS Associate Funds Manager certifies project funds and creates Purchase Requisition

Warranted Contracting Officer can award Purchase Order (PO).

FEDSIM PM enters quantity/dollars of goods/services received (Step 1 of Receiving)

FEDSIM PM designated as Receiving Official verifies and approves receiving for invoice processing (Step 2 of Receiving)

III. Acquisition

A. Orders

Orders cannot be automatically created if the Industry Partner quote or proposal pricing submission exceeds the amount of the Purchase Request committed funds line item.

Orders can be created for less than the IP quote or proposal pricing submission if the order pricing is equal to or less than the Purchase Request committed funds.

If the PR committed funding is greater than the order obligation funding, excess committed funds will be automatically de-committed and returned to undistributed project funds.

Only warranted Contracting Officers can award an order.

B. Practices

Mandatory acquisition reviews by OMs

Mandatory legal review for all acquisitions estimated at over \$5M, involving leasing or unusual terms. Legal review is encouraged

All acquisitions must provide Fair Opportunity or document exception

Oral Technical Proposals to streamline acquisition process

Encourage Industry Days

Due Diligence performed and documented with FEDSIM facilitation

Acquisition Project Managers ensure consistent packages

Debriefs for successful and unsuccessful offerors

Standardized Debriefing guide developed

Performance Based Acquisitions

FEDSIM CSD is the Award Fee Determining Official

Standardized templates for purchase requests

Standardized packages for Government Wide Acquisition Contracts (GWACs) and Multiple Award Schedules (MAS)

Standard Acquisition strategy/plan format used for all packages

Standardized Request for Quote cover letter and no-bid response letter for industry

Standardized 3025 receiving report and invoice rejection letters

Operations Managers checklist for all acquisition packages

Part time, on-site legal counsel available to acquisition and program staff

Conduct Best Value for services acquisition

Inclusion of Government cost estimate range in some procurements

Inclusion of technical evaluations criterion and factors (excluding the evaluation rating distinctions) in solicitations

Standardized process for cost proposal evaluations for all FTS GWACs

Acquisition cycle time shown in system keeps awareness of days on desk

Technical evaluation plans for all acquisitions under FAR 16.

Close out procedures well documented

Close out task force working with clear performance measures

Acquisition Solutions Newsletters on acquisition news distributed to all of FEDSIM

Technical Evaluation brown bag held

PMs encouraged to observe contractor oral technical proposals and subsequent evaluation conducted by Acquisition prior to participating as a member of a technical evaluation board

Technical Evaluation guidelines developed

Encourage the use of Performance based acquisitions with the use of Performance Work Statements or Statement of Objectives

Arrange for new clients to observe conduct of award fee boards to minimize learning curve

Conduct small business fairs to aid small business to network with Millennia primes

Maintain all Contract Files in accordance with GFGSA Form 3420

IV. Project

A. Project Management

Project Management template for Work Breakdown structures

Project Management brown bags on managing FEDSIM projects and applying PM discipline

75 of 100 project managers/contracting officer representatives taking course for master certificate in project management from GWU/ESI

Integrated Project Teams – made up of the client, industry partner, FEDSIM PM, and FEDSIM acquisition professional

B. Training

On Line Procedures Manual that provides information and relevant links for FEDSIM orientation, acquisition, financial management, order management, closeout, security, training and career development, travel and other administration issues, overview of tools and systems

On-line Forms and templates available over web

Individual Development Plan (IDP) system for submission, approval, and reporting of IDPs

CSDs approve all IDPs

Training budget based on IDPs submitted

Project Management Masters Certificate program with ESI

PMI certification of Project Managers meeting educational and experience criteria

95% of 1102s meet or are pursuing CCA and GSA Acquisition qualifications requirements

Solutions.Edu courses made available on-site

All FEDSIM Contracting Officer's Representatives (CORs) take formal COR training prior to obtaining COR designation

Appendix A

CHECKLISTS

Checklist Cover Page

1. Task ID # :	
2. Description of Requirement:	
3. Attached Checklist(s):	
<input type="checkbox"/> 8(a) Pre-Solicitation	Date Approved:
<input type="checkbox"/> Pre-Solicitation (other than 8(a))	Date Approved:
<input type="checkbox"/> FSS Schedule Order	Date Approved:
<input type="checkbox"/> GWAC/MAIQ Order	Date Approved:
<input type="checkbox"/> Contract Administration	Date Approved:
4. APPROVED:	
_____	_____
Contracting Officer	Date

8(a) Pre-Solicitation Checklist

Required Documentation/Action	Yes	No	N/A	Comments
1. Reimbursable Agreement (e.g., IA or MOU) <u>Responsibility:</u> Program Office				
2. Description of Requirement <ul style="list-style-type: none"> Evaluate Total Requirement to avoid splitting. Evaluate Capabilities of Firm <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
3. Independent Government Cost Estimate <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
4. Acquisition Plan <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
5. Purchase Request <u>Responsibility:</u> Contracting Officer responsible for assuring sufficient funds are available for the acquisition based upon certification of fund availability by an authorized individual.				
6. Offer Letter and Draft SOW to SBA <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				

Pre-Solicitation (other than 8(a)) Checklist

Required Documentation/Action	Yes	No	N/A	Comments
1. Reimbursable Agreement (e.g., IA or MOU) <u>Responsibility:</u> Program Office.				
2. Description of Requirement <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
3. Market Research <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
4. Independent Government Cost Estimate <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
5. Acquisition Plan <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
6. Purchase Request <u>Responsibility:</u> Contracting Officer responsible for assuring sufficient funds are available for the acquisition based upon certification of fund availability by an authorized individual.				

FSS Schedule Orders Checklist

Required Documentation/Action	Yes	No	N/A	Comments
1. Completed Pre-Solicitation Checklist <u>Responsibility:</u> Contracting Officer verifies.				
2. ID which FSS Schedule(s) and Special Item No. <ul style="list-style-type: none"> • Teaming <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
3. Prepare Solicitation – to include actions such as: <ul style="list-style-type: none"> • “Section 508” • D&F for T&M • Client Specific Clauses • SOW <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, General Counsel and Other offices as appropriate.				
4. Issue Solicitation – to include actions such as: <ul style="list-style-type: none"> • “Section 803” • Maximum Order Threshold <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
5. Evaluate Solicitation Responses – to include actions such as: <ul style="list-style-type: none"> • Verify Prices Against FSS Prices • Determine if on Schedule • Make Best Value Determination <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				

GWAC/MAIQ Orders Checklist

Required Documentation/Action	Yes	No	N/A	Comments
1. Completed Pre-Solicitation Checklist <u>Responsibility:</u> Contracting Officer Verifies.				
2. Review the GWAC/MAIQ contract including Ordering Procedures <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
3. Prepare Solicitation – to include actions such as: <ul style="list-style-type: none"> • “Section 508” • D&F for T&M • Client Specific Clauses • SOW • Ensure within Scope <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, General Counsel, and Other offices as appropriate.				
4. Issue Solicitation – to include actions such as: <ul style="list-style-type: none"> • “Section 803” <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
5. Evaluate Solicitation Responses – to include actions such as: <ul style="list-style-type: none"> • Evaluate Price and other Factors • Make Best Value Determination <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				
6. Make Award <ul style="list-style-type: none"> • Prepare Award Documentation <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.				

Contract Administration Checklist

Required Documentation/Action	Yes	No	N/A	Comments
1. Start-up Activities <ul style="list-style-type: none"> • Copy of contract/order • COR appointment letters • Understanding requirement and outcome of deliverables • Kick-off meeting - to include actions such as: <ul style="list-style-type: none"> ○ Performance Expectations ○ Government furnished property ○ Quality Assurance ○ Surveillance plans ○ Buy American ○ Security Clearances ○ Rights in Data ○ Incentives (positive/negative) <p><u>Responsibility:</u> Contracting Officer with advice from Customer, Program, and Other offices as appropriate.</p>				
2. Performance <ul style="list-style-type: none"> • Monitor performance/delivery date <ul style="list-style-type: none"> ○ Cost growth/schedule slip ○ Onsite inspection visits (high \$ value or unique) ○ Cure notice/show cause ○ Stop work ○ Receipt of status reports ○ Quality assurance ○ Surveillance plans ○ Buy American ○ Security clearances ○ Incentive (positive/negative) ○ Rights in Data ○ Government furnished property ○ Suspension and debarment ○ Subcontracting plan compliance ○ Evaluation of performance • Inspection and acceptance of deliverables • Invoice approval/payments • Audit resolution <p><u>Responsibility:</u> Contracting Officer with advice from Customer, Program, General Counsel, and Other offices as appropriate.</p>				

Contract Administration Checklist

Continuation

Required Documentation/Action	Yes	No	N/A	Comments
3. Modifications (within scope) <ul style="list-style-type: none"> • Option exercise • Change orders • Subcontract approval • Suspension and debarment • Increasing ceiling values/total price • Extending periods of performance • Incremental funding <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, General Counsel, and Other offices as appropriate.				
4. Legal <ul style="list-style-type: none"> • Termination <ul style="list-style-type: none"> ◦ “T for C”/settlement agreement ◦ “T for D”/re-procurement • Claims • Dispute/protest • Suspension and debarment • Conflict of Interest <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, General Counsel, and Other offices as appropriate.				
5. Close Out <u>Responsibility:</u> Contracting Officer with advice from Customer, Program, General Counsel, and Other offices as appropriate.				